



COPY OF PAPERS
ORIGINALLY FILED

2768
2161

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of:)

Thomas J. Foth

) Attorney Docket No.: E-978

Serial No.: 09/474,642

) Group Art Unit: 2768

Filed: December 29, 1999

) Date: February 14, 2002

For: METHOD AND APPARATUS FOR PROVIDING REFUNDS IN A
POSTGAGE METERING SYSTEM

INFORMATION DISCLOSURE STATEMENT

RECEIVED

MAR 14 2002

Technology Center 2100

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR § 1.56.

While this Information Disclosure Statement may be "material" pursuant to 37 CFR § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR § 1.56(b) exists.

In accordance with 37 CFR § 1.97(h), the filing of this Information Disclosure Statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 CFR § 1.56(b).

03/07/2002 BABRAHA1 00000038 161885 09474642

01 FC:126 100.00 CH

Adjustment date: 03/11/2002 BABRAHA1
03/07/2002 BABRAHA1 00000038 161885 09474642
01 FC:126 100.00 CH

This Information Disclosure Statement is being filed in accordance with the following provisions, as identified below with marked boxes, available under 37 CFR § 1.97:

1. ☒ 37 CFR §1.97(b) - This Information Disclosure Statement is being filed according to one of the following: (i) within 3 months of the filing date of this application (other than a CPA); (ii) within 3 months of the date of entry of the national stage as set forth in § 1.491 in an international application; (iii) before the mailing of a first Office action on the merits; or (iv) before the mailing of a first Office action after the filing of a request for continued examination under § 1.114.

OR

2. ☐ 37 CFR §1.97(c) - This Information Disclosure Statement is being filed before the mailing date of any of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application, and it is accompanied by the statement or fee as identified below:

2.1 ☐ Specified Statement under 37 CFR § 1.97(e)(1) - see below.

OR

2.2 ☐ Specified Statement under 37 CFR § 1.97(e)(2) - see below.

OR

2.3 ☐ Please charge Deposit Account No. **16-1885** in the amount of \$180.00 to cover the fee set forth in § 1.17(p).

**** Provisional Fee Authorization.** If Box 2.1 or Box 2.2 is marked above and a final action under § 1.113 has in fact been mailed before the filing of this Information Disclosure Statement, then the Commissioner is authorized to charge Deposit Account No. **16-1885** in the amount of \$180.00 to cover the fee set forth in § 1.17(p) as if Box 2.3 had been marked.

OR

3. ☐ 37 CFR §1.97(d) - This Information Disclosure Statement is being filed on or before payment of the issue fee and it is accompanied by the statement and fee as identified below:

3.1.1 ☐ Specified Statement under 37 CFR § 1.97(e)(1) - see below.

OR

3.1.2 ☐ Specified Statement under 37 CFR § 1.97(e)(2) - see below.

AND

3.2 ☐ Please charge Deposit Account No. **16-1885** in the amount of \$180.00 to cover the fee set forth in § 1.17(p).

Specified Statement under 37 CFR § 1.97(e)(1) - Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

Specified Statement under 37 CFR § 1.97(e)(2) - No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing below, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.

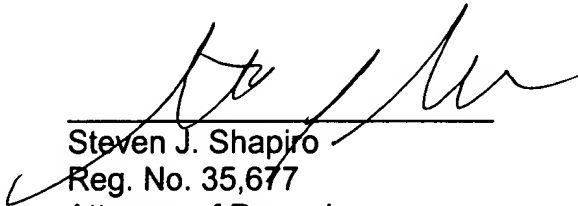
A list of the patent(s) and/or publication(s) is set forth on the attached Form PTO-1449 (Modified).

A copy of each of the items on PTO-1449 (Modified) is supplied herewith.

In the event that a first office action has in fact been mailed prior to the filing of this Information Disclosure Statement, please consider this Information Disclosure to be filed in accordance with 37 CFR §1.97(c). If 37 CFR § 1.97(c) applies, the Commissioner is hereby authorized to charge the fee set forth in § 1.17(p) to Deposit Account No. **16-1885**.

A duplicate copy of this transmittal is enclosed for use in charging the Deposit Account.

Respectfully submitted,



Steven J. Shapiro
Reg. No. 35,677
Attorney of Record
Telephone (203) 924-3880

PITNEY BOWES INC.
Intellectual Property and
Technology Law Department
35 Waterview Drive
P.O. Box 3000
Shelton, CT 06484-8000

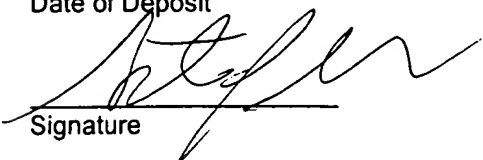
Plus attachments: Form PTO-1449 (Modified)
One copy of each of the references

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Assistant Commissioner for Patents
Washington, D.C. 20231

On February 14, 2002
Date of Deposit



Signature

Steven J. Shapiro
Name of Registered Rep.

February 14, 2002
Date